

SPP INTERIM CHANGE FORM

1. INTERIM CHANGE NUMBER: SPP 7.01, IC-3-1

2. PURPOSE OF CHANGE: Internal review identified a performer in this SPP, "File "Custodian," that is not defined in the HLW Training Plan. This interim change corrects this performer (page 2) to "Records Support Personnel," which is defined in the HLW Training Plan, and adjusts procedure 4 a (4) from singular to plural, accordingly.

3. PEN AND INK ☐
 PAGE CHANGE ☒
 OTHER (DESCRIBE) ☐

4. THIS INTERIM CHANGE IS CANCELED ON _____
 (Not to exceed 6 months from effective date)

5. CONCURRENCE Kenneth M. Puleja 4/18/01
 Office of Technical Program Integration (EM-22)
 Office of Integration and Disposition Date

CONCURRENCE Mark E. Rawlings 4/16/01
 Ohio Office (EM-31)
 Office of Site Closure Date

CONCURRENCE [Signature] 4-11-01
 Savannah River Office (EM-42)
 Office of Project Completion Date

CONCURRENCE Thomas W. [Signature] 4-11-01
 Office of River Protection (EM-44)
 Office of Project Completion Date

APPROVED [Signature] 4/18/01
 HLW Quality Assurance Program Manager (EM-5) Date

1. PURPOSE AND SCOPE

To define the responsibilities and actions for preparing, transferring, and receiving quality records. The SPPs implement the requirements identified in DOE/RW-0333P, Office of Civilian Radioactive Waste Management (OCRWM), Quality Assurance Requirements and Description (QARD) that are appropriate to the High-Level Waste (HLW) activities.

2. REFERENCES

DOE/RW-0333P, OCRWM, Quality Assurance Requirements and Description

3. GENERAL**a. Discussion**

DOE/RW-0333P establishes the quality assurance requirements for records. Each SPP defines the items and activities to achieve the required quality. The SPP specifies the documents generated to record this quality process. The "Records" section of each SPP lists documents required to be entered into the central records facility. Documents generated by SPPs are incorporated into, or attached to "United States Governments - Department of Energy" memoranda as issuing vehicles. These memoranda define the items and activities being documented in the "subject" of the memorandum, and provide authentication (and date). Documents are not considered quality records until they are complete and verified as quality records.

Quality records storage and replacement requirements are met by the dual storage option and temporary storage option as defined by ASME NQA-1. Storage of records that will become OCRWM records are maintained in one-hour fire-rated containers until transferred. A dual record storage system is achieved by maintaining a copy at EM in Germantown, MD. And with a second copy in a facility of sufficient geographic separation at RW in Washington, D.C. DOE System 28 Records (personnel certification, qualification, and training records) will be maintained in one-hour fire rated temporary storage containers.

For the purposes of this procedure, the "Originator" is any individual from among the "Performers" used in the HLW SPPs.

b. Definitions

See SPP Glossary of Terms and Acronyms.

4. PROCEDURE

a. Preparing Documents to Become Quality Records

Performer

Action

Originator

- (1) Documents the action and activities in attaining quality as specified by the applicable SPPs.
- (2) Verifies that documents meet the following requirements:
 - (a) Documents are legible, reproducible, complete, and identifiable using appropriate number (i.e., audit #, surveillance, etc.) to the associated item or activity.
 - (b) Corrections made to documents that are to become quality records are in dark ink (i.e., reproducible) and include a line through the part that was corrected, the date, and the initials of the person authorized to make the correction.
 - (c) Each document that will comprise a quality record is signed by authorized personnel or otherwise authenticated by initial or signature and date.
- (3) Upon completion of the verification process, immediately processes the document to prevent unnecessary delays to the File Custodian.

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Personnel

- (4) Check documents for file codes and ensures consistency with prior records. Remove duplicates from each set of documents. Return unacceptable documents to the originator for correction or modification when the documents are found deficient. The documents may be originals or copies.
- (5) Prepare EM Records Transmittal (Attachment A)
- (6) Forward to the CRF for processing.

b. Records Storage**Performer****Action**

Records Support
Personnel

- (1) Receive HLW documents, verify legibility, index, provide index verification, maintain, and retrieve quality record files in accordance with operating procedures. Remove duplicates. Assigns document identifiers & prepares OCRWM Records Package T.O.C. (Attachment B). Protect records by placing in secured access area and allowing access to those designated by QAPM. Makes one copy of documents to comply with the specified distribution (RW receives original document and the CRF receives copy).
- (2) For Supplements, the Records Support Personnel will designate supplement numbers until notified by the document originator that the package is complete.
- (3) File the "RW record" copy in a one-hour fire-rated storage container and the "CRF" copy in the quality records file (as a quality record or quality case-file). Provide storage of quality assurance records in accordance with operating procedures. Provides protection of documents from damage, deterioration, or loss.
- (4) Provide copies of quality records stored at the CRF in accordance with CRF operating instructions.
- (5) Periodically, assemble the completed "RW record" copies, prepares an OCRWM Transmittal/Receipt Acknowledgment (Attachment C) and forwards the transmittal to the HLW QAPM for review and approval.

c. Transferring Quality Records

<u>Performer</u>	<u>Action</u>
HLW QAPM	(1) Reviews the OCRWM QA Records Transmittal, resolves any discrepancies with Records Support Personnel and originators. (2) Forwards the signed OCRWM QA Records Transmittal to the CRF.
Records Support Personnel	(3) Collect the applicable "RW record" copies, attach the RW QA Records Transmittal, and transmit to the designated OCRWM records facility. (4) Maintain a copy of the OCRWM QA Records Transmittal in CRF files. (5) Receive and maintain, as quality records, the receipt acknowledgments of the OCRWM QA Records Transmittals for all HLW record shipments to OCRWM.

d. Correcting, Revising, or Supplementing Quality Records

<u>Performer</u>	<u>Action</u>
Originator	(1) Obtains approvals on the Quality Record correction or supplement commensurate with those required at the time the document was initially prepared and issued. If an organization that was originally responsible is no longer responsible, then the newly assigned organization or individual responsible for HLW activities shall approve. <u>Note:</u> Revisions and supplements are maintained as records and are not superseded and removed. Revision status is part of the document identification. (2) Processes the documentation as per step 4.a.1.

e. System 28 Records

<u>Performer</u>	<u>Action</u>
HLW QAPM	(1) Verifies legibility, reproducibility, completeness, and authentication. Dependent upon the degree of privacy desired, places documentation within an envelope, and forwards to the CRF using Attachment A.
Records Support Personnel	(2) Receive documentation, ensures file codes are consistent and identification to the document. (3) Verify legibility and authentication and files in a one-hour fire-rated container. Protect records by placing records in a secure area and allowing access to those designated by HLW QAPM.

f. Records System Administration

<u>Performer</u>	<u>Action</u>
Records Support Personnel	(1) Annually appraise record holdings for deterioration and loss.
HLW QAPM	(2) Reviews annually the Facility Description and modifies as required; record locations, record identification and classification, and personnel access list.

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g. Records

<u>Performer</u>	<u>Action</u>
Records Support Personnel	(1) Process the following as nonpermanent quality records in accordance with this SPP: (a) Facility Description; (b) OCRWM QA Records Transmittal; and (c) Annual appraisal of file for loss or deterioration.

5. ATTACHMENTS

- a. Attachment A – Environmental Management Records Transmittal (Example)
- b. Attachment B – Office of Civilian Radioactive Waste Management Records Package Table of Contents (Example)
- c. Attachment C - Office of Civilian Radioactive Waste Management Transmittal/Receipt Acknowledgement (Example)

6. REVISION HISTORY

<u>Revision</u>	<u>Description</u>	<u>Effective Date</u>
0	New Procedure	3/24/97
1	Incorporated Interim Change 1 and to update the Storage location for QA records.	5/29/98
2	Removed QAPD reference; revised approval section per new EM organization; electronic reformatting; addressed internal audit 00-EA-IN-AU-01 issues regarding clarification of “Performers;” minor editorial revisions. As this is a major revision, change bars are not retained, in accordance with SPP 2.01, paragraph 4.d.(1).(b).	5/8/00
3	Replaced “quality records system” at section 3.a with “central records facility.” Incorporated interim change IC-2-1 of page 5, which removed section 4.f.(1) per audit EM-ARC-00-09 observation. Revised 1), “Office of River Protection” to “River Protection Office” and 2) QAPM approval at section 7. Minor reformatting of section 7. Updated CRF room number in attachment A.	See SPP Index

7. CONCURRENCE AND APPROVAL

<u>David J. Koutandreas</u> <u>For Kenneth Pcha</u> Office of Technical Program Integration Office of Integration and Disposition	<u>12/21/00</u> Date
<u>Mark E. Rawlings</u> Ohio Office Office of Site Closure	<u>12/21/00</u> Date
<u>[Signature]</u> Savannah River Office Office of Project Completion	<u>12/21/2000</u> Date
<u>[Signature]</u> River Protection Office Office of Project Completion	<u>12/19/00</u> Date
<u>[Signature]</u> Quality Assurance Program Manager	<u>12/22/00</u> Date

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ATTACHMENT A (EXAMPLE)

ENVIRONMENTAL MANAGEMENT						
RECORDS TRANSMITTAL						
Transmitter: Street Address/Building and Room Number: City/State/Zip:				Transmittal Number: Transmittal Date: Routing Code: Phone Number:		
ITEM NO.	DOCUMENT ID NUMBER	FILE CODE	A. RECORD SERIES TITLE B. CONTENTS OF RECORD SERIES	QA	NON-QA	NO. OF PAGES
FILE CUSTODIAN SIGNATURE:			DIVISION/ORGANIZATION:		DATE:	
SUPERVISOR SIGNATURE:						
RECEIVED BY:		DATE:	RETURN TO: CENTRAL RECORDS FACILITY U.S. Department of Energy Germantown Main Building, G-039 Germantown, MD 20874			

ATTACHMENT B (EXAMPLE)

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT RECORDS PACKAGE TABLE OF CONTENTS		QA: Page: of:	
Tracking Number		Records Package Date	Total Page Count
Title/Description of Records Package			
Record Date	Individual Titles/Groups of Records	Pages	
	Table of Contents		
Subtotal Page Count			
Sender		Signature	Date

ATTACHMENT C (EXAMPLE)

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT TRANSMITTAL/RECEIPT ACKNOWLEDGEMENT		QA: Page: Of:
Record Date	Title/ Description	Number of Pages
Comments		